

AD-A272 941

DEPARTMENT OF DEFENSE  
PUBLICATION SYSTEM TRANSMITTAL

OFFICE OF THE SECRETARY OF DEFENSE  
Assistant Secretary of Defense (Force  
Management and Personnel)

CHANGE NO. 2  
DoD 1400.34-M  
June 4, 1993

DOD CIVILIAN INTELLIGENCE PERSONNEL  
MANAGEMENT SYSTEM (CIPMS)

The Principal Director (Civilian Personnel Policy/Equal Opportunity), Office of the Assistant Secretary of Defense (Force Management and Personnel), has authorized the following page changes to DoD 1400.34-M, "DoD Civilian Intelligence Personnel Management System (CIPMS)," August 1989:

PAGE CHANGES

Remove: C-1

Insert: Attached replacement page and new pages C-2 through C-5

2  
DTIC  
ELECTE  
S NOV 08 1993  
A

EFFECTIVE DATE

These changes are effective immediately. Forward two copies of implementing documents to the Deputy Assistant Secretary of Defense (Civilian Personnel Policy/Equal Opportunity), Office of the Assistant Secretary of Defense (Force Management and Personnel), within 120 days.

*James L. Elmer*  
JAMES L. ELMER  
Director  
Correspondence and Directives

Attachments  
5 pages

93-27157

WHEN PRESCRIBED ACTION HAS BEEN TAKEN, THIS TRANSMITTAL SHOULD BE FILED WITH THE BASIC DOCUMENT

## APPENDIX C

### PART I

#### THE SENIOR INTELLIGENCE PROFESSIONAL (SIP)

##### **A. REFERENCES**

1. Public Law 99-569, Section 504, Title V of "Intelligence Authorization Act for Fiscal Year 1987," October 27, 1986, (10 U.S.C. 1590).
2. Public Law 86-36, Sections 2 and 4 of "The National Security Act of 1959," May 29, 1959, as amended, (50 U.S.C. 402 note).
3. Public Law 101-509, "Federal Pay Comparability Act of 1990," November 5, 1990.
4. DoD Directive 1400.34, "DoD Civilian Intelligence Personnel Management System (CIPMS)", December 15, 1988.

##### **B. BACKGROUND**

1. This Appendix provides for the establishment of a civilian personnel program for senior expert positions above GS-15 (non-SES) in the DoD Military Departments' CIPMS.
2. The policies, guidance, and procedures in this appendix are applicable to civilian employees who are appointed or converted to positions in CIPMS. All provisions of this manual applying to other CIPMS employees will apply equally to SIP employees unless otherwise indicated.

##### **C. DEFINITIONS**

1. Senior Intelligence Professional positions. The positions are the equivalent of the Senior Level positions, formerly classified as GS-16, 17, and 18.
2. Appointing official. For purposes of this Appendix, an appointing official is one who would have the authority to appoint candidates to Senior Level positions in the competitive service.

##### **D. RESPONSIBILITIES**

1. The OASD(FM&P) shall:
  - a. Establish criteria for the establishment of non-managerial positions that are classified above the grade 15 level as SIPs.
  - b. Approve establishment and the initial allocations of these positions, in consultation with the OASD(C<sup>3</sup>I) and with the advice from the CAG.
  - c. Ensure that allocations are consistent with overall DoD resource needs.

d. Coordinate with the OASD (C<sup>3</sup>I) on any change in or filling of a vacant position. This includes, but is not limited to, change in organization, function, and/or reassignment.

e. Approve monetary awards above \$10,000, in consultation with OASD(C<sup>3</sup>I)

f. Monitor compliance with this Appendix.

2. The OASD(C<sup>3</sup>I) shall:

a. Review allocations, including 1.d. above, for function and mission priorities.

b. Conduct biennial program evaluation of the SIP, including the review and evaluation of position allocations, in coordination with the OASD(FM&P).

3. The Secretaries of the Military Departments, or designees, shall:

a. Select, appoint, promote, and assign individuals to SIP positions.

b. Approve reassignment of a SIP.

c. Set rates of pay at the IP-5 and 6 levels, approve more than a two level increase, and approve advancement to IP-5 and IP-6. This authority may be further delegated to the Assistant Secretary level.

4. Consistent with existing delegations of appointing authority, officials with such authority are authorized to set rates of pay for SIP positions and advancement within their organizations up to and including IP-4.

**E. POLICY**

1. This Appendix shall be implemented and administered by the Secretaries of the Military Departments, or designees, in a manner that enables the senior intelligence professional positions to be competitive with comparable positions in the Intelligence Community by:

a. Providing for a compensation system, including benefits and incentives, and for other conditions of employment, designed and intended to attract and retain highly competent senior expert employees.

b. Ensuring that compensation, retention, and tenure are contingent on performance.

c. Recognizing exceptional accomplishment.

d. Providing challenging training and development experiences.

2. Each Military Department shall establish and convene boards and panels, as deemed appropriate, chaired by its Intelligence Functional Chief, to conduct merit staffing for career appointment, to review candidate qualifications, and to ensure equity in the evaluation of performance.

3. Requests to establish SIP positions shall be submitted by the Secretaries of the Military Departments, or designees, to the OASD(FM&P) for approval. The OASD (FM&P), in consultation with the OASD(C<sup>3</sup>I), approves positions in accordance with the CIPMS statute.

**4. Appointment Procedures**

a. The Secretaries of the Military Departments, or designees, may select, appoint, promote, and assign individuals to established SIP positions in accordance with the applicable provisions of 10 U.S.C. Selecting authority may be delegated within the functional chain of command to the extent possible within the Military Departments.

b. The Secretaries of the Military Departments, or designees, shall approve the reassignment of a SIP to another approved SIP position, within the Military Department, for which the individual is qualified. This authority may be delegated to the Functional Chief.

c. Details of non-SIPs to SIP positions should be kept to an absolute minimum and strictly controlled. Competitive procedures are required if the detail is longer than 180 days. Details of competitive service personnel to SIP positions will follow competitive service procedures.

d. Reassignments or details of SIPs to another Military Department or another component of the Intelligence Community will be approved by the respective Secretaries of the Military Departments, or designees. Unresolved issues shall be adjudicated by the OASD(FM&P), in consultation with the OASD(CI).

**5. Performance Appraisal and Awards System**

a. SIP performance appraisal and awards system will use the established system(s) in the respective Military Departments. The respective Military Department performance appraisal format will be used until a supplementary DoD performance appraisal appendix/form is established.

b. The performance appraisal system will permit the accurate evaluation of performance in any position and in any job elements of the position; provide for systematic appraisals of performance of SIPs, shall be a factor for reduction-in-force determinations, for performance awards, and for changes in rates of basic pay.

c. The SIP appraisal system provides for the identification of elements of a SIP's job to include critical job elements, establishment of performance standards for the job elements, communication of those elements and performance standards to the member at the beginning of a rating period, establishment of methods and procedures to evaluate performance against pre-established standards, and appropriate use of appraisal information to make personnel decisions.

**6. Military Department Performance Awards**

a. Each Military Department Functional Chief may approve annually special Military Department performance award(s) to SIPs. This award considers the individual's performance over a minimum period of 3 years.

b. During any calendar year, the Functional Chief may provide the award to any SIP recommended by the Commander of an intelligence command and/or activity.

c. These awards may be monetary or non-monetary. A monetary award over \$10,000 must be forwarded to the OASD(FM&P) and the OASD(C3I) for approval. Receipt of a Military Department monetary award entitles the recipient to a lump-sum payment and shall be in addition to the basic pay or any other award payment.

7. Compensation and Specialized Personnel Actions

a. Commanders of intelligence commands and/or activities shall recommend to the Functional Chief the pay rate for each SIP selectee within the range of approved rates. Generally, pay will be set at the minimum rate. However, in assigning the pay rate for any new position assignment, consideration shall be given to the level of responsibility of the position and the qualifications of the selectee.

b. A promotion from another pay system into SIP shall normally result in a minimum increase of 6% in the rate of compensation, but not less than 3% above the previous rate.

c. SIP pay rates shall not be less than 120 percent of the minimum rate of basic pay payable for GS-15 of the General Schedule and not greater than the rate of basic pay payable for level IV of the Executive Schedule (EX) established for Senior Level positions under 5 U.S.C. 5376.

d. The rates shall be adjusted at the same time and to the same extent as rates of basic pay for the Senior Level positions in DoD are adjusted.

(1) The annual pay adjustment shall not constitute the start of a new 12 month period, provided the percentage of the Senior Level adjustment is equal to or less than that of the General Schedule increase effective on the same date.

(2) To be eligible for the annual pay adjustment, an employee must have received a performance rating of at least "fully successful" on the last official performance appraisal. New employees who have not been rated will be presumed to be "fully successful" unless a performance improvement plan is in effect.

e. In addition to paragraph E.7.d., above, a SIP's rate of basic pay may be increased, at management's discretion, to a higher rate of pay once during any 12-month period. To be eligible for pay adjustments other than the annual cost of living adjustment, an employee must have received a rating on the most recent official performance appraisal of "exceeds fully successful" level or higher. Where appraisal systems allow for only three levels, narrative descriptions will provide the justification. Other factors to be considered in recommending pay rate adjustments include, but are not limited to, changes in position content, performance, length of service, increased professional stature, pay for comparable private sector personnel, and alignment with comparable positions in the organization.

f. Pay for the SIP shall consist of six levels. The minimum for each level will exceed the next lower corresponding SES (ES) pay level by \$1, except for IP-1, which is 120% of GS-15, Step 1. The maximum for each level will be equivalent to the corresponding, existing ES pay level (e.g., If ES-3 is \$98,600 and ES-4 is \$104,000, the IP-4 level is \$98,601 - \$104,000). The maximum for IP-6 will be EX-IV.

g. Pay at levels IP-1 through IP-4 is determined by the appointing authority. Pay at levels IP-5 and IP-6 is approved by the Secretary of the Military Department and may be delegated to the Service Assistant Secretary level. Pay within a level is determined and adjusted by the appointing authority.

h. Progressive movement between SIP levels will constitute an advancement that must be approved by the appointing authority. More than a two level increase or promotion to IP-5/IP-6 requires approval by the Secretary of the Military Department and may be delegated to the Service Assistant Secretary level.

i. The aggregate amount paid to a SIP during any calendar year (e.g., rate of basic pay, performance awards, and lump sum awards) may not exceed the annual rate payable for positions at Level I of the Executive Schedule in effect at the end of such year as established under 5 U.S.C 5307.

j. SIP disability and retirement benefits shall be in accordance with those in the applicable retirement system.

k. A member of the Senior Executive Service (or the Senior Intelligence Executive Service) who is permanently appointed to a SIP position shall retain all accumulated annual leave. Any annual leave in excess of 240 hours remains to the SIP's credit. Subsequently, if the SIP uses more annual leave than earned in a leave year, the reduced balance carried forward becomes the new leave ceiling.

#### 8. Supplementation

The policies in subsections E.1 through .7 above, shall not be supplemented or modified except as authorized by statute or otherwise authorized by provisions of this Appendix. In this regard, the Secretaries of the Military Departments are authorized to issue internal implementing guidance where they or their designee determine such guidance to be essential. Copies of such guidance shall be provided to the OASD(CPP/EO) for review before publication.

Accesion For	
NTIS CRA&I	<input checked="" type="checkbox"/>
DTIC TAB	<input type="checkbox"/>
Unpublished	<input type="checkbox"/>
Classification	
By	Form 50
Distribution	
Availability	
Date	
Dist	
A-1	